

# PATENT APPLICATION

## ELECTRONIC FILE PROTECTION USING LOCATION

INVENTOR: Roger R. Dube  
2655 NW 29<sup>th</sup> Drive  
Boca Raton, FL 33434  
U.S. Citizen

ASSIGNEE: Gate Technologies International, Inc.  
3700 Airport Road, Suite 307  
Boca Raton, FL 33431

MARTINE & PENILLA, LLP  
710 Lakeway Drive, Suite 170  
Sunnyvale, CA 94085  
Telephone (408) 749-6900

# ELECTRONIC FILE PROTECTION USING LOCATION

*by Inventor*

*Roger R. Dube*

## CROSS REFERENCE TO RELATED APPLICATIONS

This application claims the benefit of U.S. Provisional Patent Application No. 60/296,923, filed on June 8, 2001, entitled "Method for Protecting Electronic Files Using Location," the disclosure of which is incorporated by reference. This application is also a continuation-in-part of U.S. Patent Application No. 09/948,730, filed September 7, 2001, entitled "Method and Apparatus for Real-Time Digital Certification of Electronic Files and Transactions Using Entropy Factors," which claims the benefit of U.S. Provisional Patent Application No. 60/239,501, filed on October 11, 2000, entitled "Method and Apparatus for Real-Time Digital Certification of Electronic Files and Transactions," and U.S. Provisional Patent Application No. 60/245,491, filed on November 3, 2000, entitled "Method and Apparatus for Real-Time Digital Certification of Electronic Files and Transactions Using Entropy Factors." The disclosures of each of these applications is incorporated by reference.

## BACKGROUND OF THE INVENTION

### **1. Field of the Invention**

This invention relates generally to electronic file protection, and more particularly to electronic file protection using location and other entropy factors.

### **2. Description of the Related Art**

The use of public and private networks has fundamentally altered the manner in which business enterprises and government agencies communicate and conduct business.

For example, the Internet, intranets and extranets are used to store, analyze and transmit information between and within organizations, and permit interactive, local, national or global communication on a real-time basis. Moreover, these networks are now used for electronic business-to-customer retail commerce and for electronic business-to-business commerce of all types.

Electronic files today are easily copied and transmitted widely throughout the world in a largely uncontrolled and nearly instantaneous fashion. Multiple computers connected through a variety of local and global networks can share information through the copying and electronic delivery of files. Further, a variety of tools have been developed to facilitate file sharing and communication, such as Virtual Private Networks (“VPN’s”), Peer to Peer (“P2P”) software, various instant messaging packages as well as others. Due to the wide availability of this software, computer files of all types are shared with increasing frequency. Moreover, the continuing reduction in the price of storage devices such as disk drives further encourages this activity, since the cost of local storage does not suppress the benefit obtained by having immediate and continual access to the data.

As a result, there is a strong and pressing need for a complete solution to the protection of copyrighted information in this electronic environment. Owners of copyrighted digital data, such as video files, audio files and reports, are very concerned about the proliferation of world wide sharing of files, since this often constitutes a direct violation of copyright laws and leads to the erosion of revenue due the owner. Some sharing engines caused such concern about copyright infringement that legal battles have risen to the highest courts in the land in an attempt by copyright owners of audio data to

control the distribution of their material.

Several software solutions have been developed to attempt to address the problem of unauthorized duplication of electronic files, but these solutions are inadequate. Techniques such as strong encryption, digital watermarks and other forms of unique identification or access control are necessary but not sufficient protection of copyrighted material, as is evidenced by the fact that owners of copyrighted material have been very reluctant to offer their material over electronic distribution channels such as the Internet.

Digital watermarks imbed hidden information in a copyrighted file so that ownership can be demonstrated whenever a file with the watermark appears. Some implementations of the technology scramble the file so that it is not usable until unlocked by an authorized key. Keys, however, can be distributed just as easily as the source files, thereby neutering any protection afforded by the watermarking technology. Other solutions hide the watermark and require that the copyright owner “police” his property through the identification of illegal copies as they are found. The onus remains with the owner to enforce his ownership through legal prosecution of the person(s) holding the illegal copy. Still other implementations offer a “reduced function” access to the file (e.g., degraded audio performance so that a user may listen to the file before purchasing it) until the user purchases a license to the copyrighted material. The owner may further attempt to stem his losses by tracking the transmission trail of the document, although tools for such tracking are inadequate or missing entirely.

The reluctance of the owners of copyrighted information to migrate to electronic distribution or delivery of their material using digital watermarking is easily understood. Digital watermarking does not prevent the distribution of electronic material, but rather

places the burden upon the owner to locate and then prosecute people holding illegal copies. The lack of tools to track the distribution path by which these copies were transmitted does not provide any assurances that such distribution will be stemmed by the prosecution activity. The ease with which keys can be distributed or posted in newsgroups gives further pause to copyright owners. Hence, a solution is needed in which copyrighted materials can be transmitted to an authorized purchaser with confidence that the file cannot be distributed in any usable fashion.

To address this issue, a variety of very strong encryption technologies have been developed over time. The strongest of the encryption technologies, public key encryption, employs dual-key systems in which each party has a public key that is widely distributed, and a private key that is kept secret to the user on his machine. Specifically, using public key infrastructure (“PKI”) encryption, digital messages are encrypted and decrypted using ciphers or keys. Figure 1 is an illustration showing a conventional public and private key pair 100. The public and private key pair includes a public key 102 and a private key 104. Each user of the system has a public key 102 and a private key 104 and must know the public key 102 of the intended recipients of its messages. In general, a message is encrypted and sent by a sender using the recipient’s public key 102 and is then received and decoded by the recipient using his private key 104, as discussed in greater detail next.

Figure 2 is an illustration of a conventional PKI system 200. In Figure 2, two network computer users, Alice 202 and Bob 204, each have their own public and private key pair. Specifically, Alice 202 has a public and private key pair comprising a public key 206 and a private key 208. Similarly, Bob 204 has a public and private key pair comprising a public key 210 and a private key 212. The private keys 208 and 212 are

key RD 10/29/01  
N

secret numbers to which only the owner has access. In general each public is generated using the following formula:

$$(1) \quad G^{x \bmod P},$$

where G and P are large prime numbers and x is the user's private key. In this manner, eavesdroppers would have great difficulty determining x even if the values of G and P are known. Hence, the public keys 206 and 210 can be broadly disseminated without revealing the related private key. For example, Bob 204 and Alice 202 provide their public keys 210 and 206 to each other prior to initiation of encrypted communication.

Thereafter, whenever encrypted communication is to occur, the sender utilizes their private key in conjunction with the recipient's public key to encrypt the data being sent. Upon receipt, the recipient decrypts the data using the recipient's private key. For example, when Alice 202 wishes to send Bob 204 an encrypted message, Alice 202 encrypts the message using her private key 208 in conjunction with Bob's public key 210.

Upon receipt, Bob decrypts the message using his private key 212.

PKI systems attempt to provide a high level of security and confidentiality because messages can be decoded only by persons having the recipient's private key. However, it is well known in the industry that a weakness of PKI technology is its susceptibility to the "man-in-the-middle" attack.

Figure 3 is an illustration showing a PKI system 300 compromised by a middleman. In particular, Figure 3 illustrates three network computer users, Alice 202, Bob 204, and Cindy 302, who in this example is the middleman. As in Figure 2, Alice

202 has a public and private key pair comprising public key 206 and private key 208, and Bob 204 has a public and private key pair comprising public key 210 and private key 212. In addition, Cindy 302, the middleman, has a public and private key pair comprising public key 304 and private key 306. If Cindy 302 can intercept a transmission between Bob 204 and Alice 202, she can trick them into using her public key 304. In this attack, the attacker intercepts the transmission of a public key and replaces it with the attacker's false key, thereby effectively replacing the true sender as the trusted party. This enables the attacker to send, receive and decode messages intended for the original legitimate user.

For example, during a “man-in-the-middle” attack, Cindy 302 intercepts Alice's public key 206 and replaces it with Cindy's public key 304. Similarly, Cindy 302 intercepts Bob's public key 210 and replaces it with Cindy's public key 304. Bob 204 and Alice 202 each believe they have each other's public key, however, they actually have Cindy's public key 304. Later, during encrypted transmissions, both Alice 202 and Bob 204 unknowingly use Cindy's public key 304 in conjunction with their respective private keys to encrypt messages to each other, which are actually intercepted by Cindy 302. Cindy 302 can decrypt the messages using her private key 306, and further, re-encrypt the messages using Cindy's private key 304 and the proper recipient's public key 206 and 210.

As deployed today, public key encryption cannot and does not have any means to authenticate the identities of either party involved in a transmission. The parties must rely upon trust or some other means of authentication in order to be certain that the identity of the other party is indeed the person with who they wish to communicate.

The strength of this public key encryption technology is state of the art today, with

legendary estimates of the time and processing power required to crack a public key encrypted file. One estimate, for example, suggests that a file encrypted using moderate strength public key encryption would require all of the computers in the world working together for one year in order to decrypt the file without the benefit of the required secret  
5 key.

Although strong encryption provides protection of copyrighted material against decryption without the required secret key, there is no protection against the distribution of the secret key or the distribution of the file once the purchaser has decrypted it. Even if used in conjunction with digital watermarking technology, the daunting task required of  
10 the copyright owner to seek and prosecute violators of the copyright material creates a significant inhibition against migrating the distribution of copyrighted material to the electronic world.

A number of attempts have been made to increase system security in the prior art. The following is a list of prior art disclosures that provide some form of file security.  
15 However, as will be seen, none of the disclosures provides a level of security currently needed to ensure proper protection of today's highly sensitive data.

In U.S. Pat. No. 4,993,067, Leopold discloses a process by which location is used to reset a decryption key of a remote user. In this process, a user transmits a request for a new key to a communications satellite. The satellite then determines whether the location  
20 of the source is authorized. If so, it then sends instructions to the remote source for re-keying its decryption software. The system requires that the remote user be stationary, and that the satellite itself carry a location filter that blocks signals from non-authorized



locations. This is practical only for application specific satellites and does not provide a means for authentication of the user's location.

In U.S. Patent No. 5,343,529, Goldfine et. al. describe a system by which a user requesting access to data presents such a request to a server. The server then transmits a session-specific userid to the user, and simultaneously calculates a hash code based on that userid. The user calculates a hash code based on a pre-determined algorithm, and sends the code back to the server. If the two <sup>hash</sup> codes match, the user is considered authentic and access is allowed. The security of this system is only as good as the secrecy of the predetermined algorithm (static entropy), and does not employ location or dynamic entropy to further authenticate the user.

RD  
16/79/01

In U.S. Pat. No. 5,640,452, Murphy describes a system by which a receiver that receives encrypted television transmissions will only operate within a physical range around its pre-set location. The system employs a GPS receiver operating in close proximity to the receiving antenna. If the current location as received by the GPS unit is within an acceptable range of coordinates that have been stored within the antenna's local electronics, the circuitry sends an enabling pulse to a decryption chip which then decodes the received transmissions. The system is susceptible to short-circuiting the enabling line to enable the decryption chip at all times and failure of the GPS unit. Moreover, it does not involve a challenge/response process for authentication of the user or his location, nor does it employ dynamic entropy for enhanced security.

In view of the forgoing, there is a need for systems and methods that provide self-protecting electronic files. The self-protecting electronic files should protect themselves based on a set of variables defined by the copyright owner at the time of authentication

and downloading. Furthermore, the file protection should preferably include location information that can be independently certified. Location information alone, although valuable, is not sufficient. Thus, the location should be authenticated to significantly reduce any possibility of location spoofing.

Patent Application

## SUMMARY OF THE INVENTION

Broadly speaking, the present invention fills these needs by providing electronic file protection using location and other entropy factors. In one embodiment, a method for protecting electronic files is disclosed. Environment information regarding a computer is obtained, wherein the environment information includes data concerning ~~an~~ operating environment of the computer. Based on the environment information, an encryption key is generated and an electronic file is encrypted using the encryption key. A decryption key can also be created based on environment information, wherein the decryption key can be utilized to decrypt the electronic file. In addition, the environment information can include location information of the computer, drive information regarding a drive wherein the electronic file will be stored, and time information specifying access duration.

Another method for protecting electronic files is disclosed in a further embodiment of the present invention. An electronic file is stored that is encrypted using an encryption key. The encryption key is generated using a first environment profile that includes data concerning an operating environment of the computer. A second environment profile of the computer is obtained, again based on a current operating environment of the computer. A decryption key is generated based on the second environment profile, and the electronic file is decrypted using the decryption key. The encryption key and the decryption key can be further based on a passcode received from a user. In this aspect, the first environment profile can be appended to the passcode to generate the encryption key and the current environment profile can be appended to the passcode to generate the decryption key. Generally, the decryption key cannot decrypt the

RD  
10/29/01

electronic file when the current environment profile does not match the first environment profile. In this case, a match occurs when the data in the current environment profile is within a predetermined range of the data in the first environment profile.

A further method for protecting electronic files is disclosed in another embodiment. A digital transaction is authenticated using a delay number based on a timing signal received from a remote source. In addition, environment information regarding a computer is obtained, wherein the environment information includes data concerning an operating environment of the computer. An encryption key is generated based on the environment information, and an electronic file is encrypted using the encryption key. In one aspect, the delay number is based on a delay time period between when the timing signal was transmitted and when the timing signal was received. Free electrons in a line of sight between the remote source and a receiver can cause the delay in the timing signal, as can variations in atmospheric conditions. As above, a decryption key can be generated based on environment information, and the decryption key can be utilized to decrypt the electronic file. Other aspects of the invention will become apparent from the following detailed description, taken in conjunction with the accompanying drawings, illustrating by way of example the principles of the invention.

## **BRIEF DESCRIPTION OF THE DRAWINGS**

The invention, together with further advantages thereof, may best be understood by reference to the following description taken in conjunction with the accompanying drawings in which:

5           Figure 1 is an illustration showing a conventional public and private key pair;

          Figure 2 is an illustration of a conventional PKI system;

          Figure 3 is an illustration showing a PKI system compromised by a middleman;

          Figure 4 is an illustration showing a client computer system that utilizes GPS data to facilitate authentication, in accordance with an embodiment of the present invention;

10  
11  
12  
13  
14  
15  
16  
17  
18  
19  
20  
21  
22  
23  
24  
25  
26  
27  
28  
29  
30  
31  
32  
33  
34  
35  
36  
37  
38  
39  
40  
41  
42  
43  
44  
45  
46  
47  
48  
49  
50  
51  
52  
53  
54  
55  
56  
57  
58  
59  
60  
61  
62  
63  
64  
65  
66  
67  
68  
69  
70  
71  
72  
73  
74  
75  
76  
77  
78  
79  
80  
81  
82  
83  
84  
85  
86  
87  
88  
89  
90  
91  
92  
93  
94  
95  
96  
97  
98  
99  
100  
101  
102  
103  
104  
105  
106  
107  
108  
109  
110  
111  
112  
113  
114  
115  
116  
117  
118  
119  
120  
121  
122  
123  
124  
125  
126  
127  
128  
129  
130  
131  
132  
133  
134  
135  
136  
137  
138  
139  
140  
141  
142  
143  
144  
145  
146  
147  
148  
149  
150  
151  
152  
153  
154  
155  
156  
157  
158  
159  
160  
161  
162  
163  
164  
165  
166  
167  
168  
169  
170  
171  
172  
173  
174  
175  
176  
177  
178  
179  
180  
181  
182  
183  
184  
185  
186  
187  
188  
189  
190  
191  
192  
193  
194  
195  
196  
197  
198  
199  
200  
201  
202  
203  
204  
205  
206  
207  
208  
209  
210  
211  
212  
213  
214  
215  
216  
217  
218  
219  
220  
221  
222  
223  
224  
225  
226  
227  
228  
229  
230  
231  
232  
233  
234  
235  
236  
237  
238  
239  
240  
241  
242  
243  
244  
245  
246  
247  
248  
249  
250  
251  
252  
253  
254  
255  
256  
257  
258  
259  
260  
261  
262  
263  
264  
265  
266  
267  
268  
269  
270  
271  
272  
273  
274  
275  
276  
277  
278  
279  
280  
281  
282  
283  
284  
285  
286  
287  
288  
289  
290  
291  
292  
293  
294  
295  
296  
297  
298  
299  
300  
301  
302  
303  
304  
305  
306  
307  
308  
309  
310  
311  
312  
313  
314  
315  
316  
317  
318  
319  
320  
321  
322  
323  
324  
325  
326  
327  
328  
329  
330  
331  
332  
333  
334  
335  
336  
337  
338  
339  
340  
341  
342  
343  
344  
345  
346  
347  
348  
349  
350  
351  
352  
353  
354  
355  
356  
357  
358  
359  
360  
361  
362  
363  
364  
365  
366  
367  
368  
369  
370  
371  
372  
373  
374  
375  
376  
377  
378  
379  
380  
381  
382  
383  
384  
385  
386  
387  
388  
389  
390  
391  
392  
393  
394  
395  
396  
397  
398  
399  
400  
401  
402  
403  
404  
405  
406  
407  
408  
409  
410  
411  
412  
413  
414  
415  
416  
417  
418  
419  
420  
421  
422  
423  
424  
425  
426  
427  
428  
429  
430  
431  
432  
433  
434  
435  
436  
437  
438  
439  
440  
441  
442  
443  
444  
445  
446  
447  
448  
449  
450  
451  
452  
453  
454  
455  
456  
457  
458  
459  
460  
461  
462  
463  
464  
465  
466  
467  
468  
469  
470  
471  
472  
473  
474  
475  
476  
477  
478  
479  
480  
481  
482  
483  
484  
485  
486  
487  
488  
489  
490  
491  
492  
493  
494  
495  
496  
497  
498  
499  
500  
501  
502  
503  
504  
505  
506  
507  
508  
509  
510  
511  
512  
513  
514  
515  
516  
517  
518  
519  
520  
521  
522  
523  
524  
525  
526  
527  
528  
529  
530  
531  
532  
533  
534  
535  
536  
537  
538  
539  
540  
541  
542  
543  
544  
545  
546  
547  
548  
549  
550  
551  
552  
553  
554  
555  
556  
557  
558  
559  
560  
561  
562  
563  
564  
565  
566  
567  
568  
569  
570  
571  
572  
573  
574  
575  
576  
577  
578  
579  
580  
581  
582  
583  
584  
585  
586  
587  
588  
589  
590  
591  
592  
593  
594  
595  
596  
597  
598  
599  
600  
601  
602  
603  
604  
605  
606  
607  
608  
609  
610  
611  
612  
613  
614  
615  
616  
617  
618  
619  
620  
621  
622  
623  
624  
625  
626  
627  
628  
629  
630  
631  
632  
633  
634  
635  
636  
637  
638  
639  
640  
641  
642  
643  
644  
645  
646  
647  
648  
649  
650  
651  
652  
653  
654  
655  
656  
657  
658  
659  
660  
661  
662  
663  
664  
665  
666  
667  
668  
669  
670  
671  
672  
673  
674  
675  
676  
677  
678  
679  
680  
681  
682  
683  
684  
685  
686  
687  
688  
689  
690  
691  
692  
693  
694  
695  
696  
697  
698  
699  
700  
701  
702  
703  
704  
705  
706  
707  
708  
709  
710  
711  
712  
713  
714  
715  
716  
717  
718  
719  
720  
721  
722  
723  
724  
725  
726  
727  
728  
729  
730  
731  
732  
733  
734  
735  
736  
737  
738  
739  
740  
741  
742  
743  
744  
745  
746  
747  
748  
749  
750  
751  
752  
753  
754  
755  
756  
757  
758  
759  
760  
761  
762  
763  
764  
765  
766  
767  
768  
769  
770  
771  
772  
773  
774  
775  
776  
777  
778  
779  
780  
781  
782  
783  
784  
785  
786  
787  
788  
789  
790  
791  
792  
793  
794  
795  
796  
797  
798  
799  
800  
801  
802  
803  
804  
805  
806  
807  
808  
809  
810  
811  
812  
813  
814  
815  
816  
817  
818  
819  
820  
821  
822  
823  
824  
825  
826  
827  
828  
829  
830  
831  
832  
833  
834  
835  
836  
837  
838  
839  
840  
841  
842  
843  
844  
845  
846  
847  
848  
849  
850  
851  
852  
853  
854  
855  
856  
857  
858  
859  
860  
861  
862  
863  
864  
865  
866  
867  
868  
869  
870  
871  
872  
873  
874  
875  
876  
877  
878  
879  
880  
881  
882  
883  
884  
885  
886  
887  
888  
889  
890  
891  
892  
893  
894  
895  
896  
897  
898  
899  
900  
901  
902  
903  
904  
905  
906  
907  
908  
909  
910  
911  
912  
913  
914  
915  
916  
917  
918  
919  
920  
921  
922  
923  
924  
925  
926  
927  
928  
929  
930  
931  
932  
933  
934  
935  
936  
937  
938  
939  
940  
941  
942  
943  
944  
945  
946  
947  
948  
949  
950  
951  
952  
953  
954  
955  
956  
957  
958  
959  
960  
961  
962  
963  
964  
965  
966  
967  
968  
969  
970  
971  
972  
973  
974  
975  
976  
977  
978  
979  
980  
981  
982  
983  
984  
985  
986  
987  
988  
989  
990  
991  
992  
993  
994  
995  
996  
997  
998  
999  
1000  
1001  
1002  
1003  
1004  
1005  
1006  
1007  
1008  
1009  
1010  
1011  
1012  
1013  
1014  
1015  
1016  
1017  
1018  
1019  
1020  
1021  
1022  
1023  
1024  
1025  
1026  
1027  
1028  
1029  
1030  
1031  
1032  
1033  
1034  
1035  
1036  
1037  
1038  
1039  
1040  
1041  
1042  
1043  
1044  
1045  
1046  
1047  
1048  
1049  
1050  
1051  
1052  
1053  
1054  
1055  
1056  
1057  
1058  
1059  
1060  
1061  
1062  
1063  
1064  
1065  
1066  
1067  
1068  
1069  
1070  
1071  
1072  
1073  
1074  
1075  
1076  
1077  
1078  
1079  
1080  
1081  
1082  
1083  
1084  
1085  
1086  
1087  
1088  
1089  
1090  
1091  
1092  
1093  
1094  
1095  
1096  
1097  
1098  
1099  
1100  
1101  
1102  
1103  
1104  
1105  
1106  
1107  
1108  
1109  
1110  
1111  
1112  
1113  
1114  
1115  
1116  
1117  
1118  
1119  
1120  
1121  
1122  
1123  
1124  
1125  
1126  
1127  
1128  
1129  
1130  
1131  
1132  
1133  
1134  
1135  
1136  
1137  
1138  
1139  
1140  
1141  
1142  
1143  
1144  
1145  
1146  
1147  
1148  
1149  
1150  
1151  
1152  
1153  
1154  
1155  
1156  
1157  
1158  
1159  
1160  
1161  
1162  
1163  
1164  
1165  
1166  
1167  
1168  
1169  
1170  
1171  
1172  
1173  
1174  
1175  
1176  
1177  
1178  
1179  
1180  
1181  
1182  
1183  
1184  
1185  
1186  
1187  
1188  
1189  
1190  
1191  
1192  
1193  
1194  
1195  
1196  
1197  
1198  
1199  
1200  
1201  
1202  
1203  
1204  
1205  
1206  
1207  
1208  
1209  
1210  
1211  
1212  
1213  
1214  
1215  
1216  
1217  
1218  
1219  
1220  
1221  
1222  
1223  
1224  
1225  
1226  
1227  
1228  
1229  
1230  
1231  
1232  
1233  
1234  
1235  
1236  
1237  
1238  
1239  
1240  
1241  
1242  
1243  
1244  
1245  
1246  
1247  
1248  
1249  
1250  
1251  
1252  
1253  
1254  
1255  
1256  
1257  
1258  
1259  
1260  
1261  
1262  
1263  
1264  
1265  
1266  
1267  
1268  
1269  
1270  
1271  
1272  
1273  
1274  
1275  
1276  
1277  
1278  
1279  
1280  
1281  
1282  
1283  
1284  
1285  
1286  
1287  
1288  
1289  
1290  
1291  
1292  
1293  
1294  
1295  
1296  
1297  
1298  
1299  
1300  
1301  
1302  
1303  
1304  
1305  
1306  
1307  
1308  
1309  
1310  
1311  
1312  
1313  
1314  
1315  
1316  
1317  
1318  
1319  
1320  
1321  
1322  
1323  
1324  
1325  
1326  
1327  
1328  
1329  
1330  
1331  
1332  
1333  
1334  
1335  
1336  
1337  
1338  
1339  
1340  
1341  
1342  
1343  
1344  
1345  
1346  
1347  
1348  
1349  
1350  
1351  
1352  
1353  
1354  
1355  
1356  
1357  
1358  
1359  
1360  
1361  
1362  
1363  
1364  
1365  
1366  
1367  
1368  
1369  
1370  
1371  
1372  
1373  
1374  
1375  
1376  
1377  
1378  
1379  
1380  
1381  
1382  
1383  
1384  
1385  
1386  
1387  
1388  
1389  
1390  
1391  
1392  
1393  
1394  
1395  
1396  
1397  
1398  
1399  
1400  
1401  
1402  
1403  
1404  
1405  
1406  
1407  
1408  
1409  
1410  
1411  
1412  
1413  
1414  
1415  
1416  
1417  
1418  
1419  
1420  
1421  
1422  
1423  
1424  
1425  
1426  
1427  
1428  
1429  
1430  
1431  
1432  
1433  
1434  
1435  
1436  
1437  
1438  
1439  
1440  
1441  
1442  
1443  
1444  
1445  
1446  
1447  
1448  
1449  
1450  
1451  
1452  
1453  
1454  
1455  
1456  
1457  
1458  
1459  
1460  
1461  
1462  
1463  
1464  
1465  
1466  
1467  
1468  
1469  
1470  
1471  
1472  
1473  
1474  
1475  
1476  
1477  
1478  
1479  
1480  
1481  
1482  
1483  
1484  
1485  
1486  
1487  
1488  
1489  
1490  
1491  
1492  
1493  
1494  
1495  
1496  
1497  
1498  
1499  
1500  
1501  
1502  
1503  
1504  
1505  
1506  
1507  
1508  
1509  
1510  
1511  
1512  
1513  
1514  
1515  
1516  
1517  
1518  
1519  
1520  
1521  
1522  
1523  
1524  
1525  
1526  
1527  
1528  
1529  
1530  
1531  
1532  
1533  
1534  
1535  
1536  
1537  
1538  
1539  
1540  
1541  
1542  
1543  
1544  
1545  
1546  
1547  
1548  
1549  
1550  
1551  
1552  
1553  
1554  
1555  
1556  
1557  
1558  
1559  
1560  
1561  
1562  
1563  
1564  
1565  
1566  
1567  
1568  
1569  
1570  
1571  
1572  
1573  
1574  
1575  
1576  
1577  
1578  
1579  
1580  
1581  
1582  
1583  
1584  
1585  
1586  
1587  
1588  
1589  
1590  
1591  
1592  
1593  
1594  
1595  
1596  
1597  
1598  
1599  
1600  
1601  
1602  
1603  
1604  
1605  
1606  
1607  
1608  
1609  
1610  
1611  
1612  
1613  
1614  
1615  
1616  
1617  
1618  
1619  
1620  
1621  
1622  
1623  
1624  
1625  
1626  
1627  
1628  
1629  
1630  
1631  
1632  
1633  
1634  
1635  
1636  
1637  
1638  
1639  
1640  
1641  
1642  
1643  
1644  
1645  
1646  
1647  
1648  
1649  
1650  
1651  
1652  
1653  
1654  
1655  
1656  
1657  
1658  
1659  
1660  
1661  
1662  
1663  
1664  
1665  
1666  
1667  
1668  
1669  
1670  
1671  
1672  
1673  
1674  
1675  
1676  
1677  
1678  
1679  
1680  
1681  
1682  
1683  
1684  
1685  
1686  
1687  
1688  
1689  
1690  
1691  
1692  
1693  
1694  
1695  
1696  
1697  
1698  
1699  
1700  
1701  
1702  
1703  
1704  
1705  
1706  
1707  
1708  
1709  
1710  
1711  
1712  
1713  
1714  
1715  
1716  
1717  
1718  
1719  
1720  
1721  
1722  
1723  
1724  
1725  
1726  
1727  
1728  
1729  
1730  
1731  
1732  
1733  
1734  
1735  
1736  
1737  
1738  
1739  
1740  
1741  
1742  
1743  
1744  
1745  
1746  
1747  
1748  
1749  
1750  
1751  
1752  
1753  
1754  
1755  
1756  
1757  
1758  
1759  
1760  
1761  
1762  
1763  
1764  
1765  
1766  
1767  
1768  
1769  
1770  
1771  
1772  
1773  
1774  
1775  
1776  
1777  
1778  
1779  
1780  
1781  
1782  
1783  
1784  
1785  
1786  
1787  
1788  
1789  
1790  
1791  
1792  
1793  
1794  
1795  
1796  
1797  
1798  
1799  
1800  
1801  
1802  
1803  
1804  
1805  
1806  
1807  
1808  
1809  
1810  
1811  
1812  
1813  
1814  
1815  
1816  
1817  
1818  
1819  
1820  
1821  
1822  
1823  
1824  
1825  
1826  
1827  
1828  
1829  
1830  
1831  
1832  
1833  
1834  
1835  
1836  
1837  
1838  
1839  
1840  
1841  
1842  
1843  
1844  
1845  
1846  
1847  
1848  
1849  
1850  
1851  
1852  
1853  
1854  
1855  
1856  
1857  
1858  
1859  
1860  
1861  
1862  
1863  
1864  
1865  
1866  
1867  
1868  
1869  
1870  
1871  
1872  
1873  
1874  
1875  
1876  
1877  
1878  
1879  
1880  
1881  
1882  
1883  
1884  
1885  
1886  
1887  
1888  
1889  
1890  
1891  
1892  
1893  
1894  
1895  
1896  
1897  
1898  
1899  
1900  
1901  
1902  
1903  
1904  
1905  
1906  
1907  
1908  
1909  
1910  
1911  
1912  
1913  
1914  
1915  
1916  
1917  
1918  
1919  
1920  
1921  
1922  
1923  
1924  
1925  
1926  
1927  
1928  
1929  
1930  
1931  
1932  
1933  
1934  
1935  
1936  
1937  
1938  
1939  
1940  
1941  
1942  
1943  
1944  
1945  
1946  
1947  
1948  
1949  
1950  
1951  
1952  
1953  
1954  
1955  
1956  
1957  
1958  
1959  
1960  
1961  
1962  
1963  
1964  
1965  
1966  
1967  
1968  
1969  
1970  
1971  
1972  
1973  
1974  
1975  
1976  
1977  
1978  
1979  
1980  
1981  
1982  
1983  
1984  
1985  
1986  
1987  
1988  
1989  
1990  
1991  
1992  
1993  
1994  
1995  
1996  
1997  
1998  
1999  
2000  
2001  
2002  
2003  
2004  
2005  
2006  
2007  
2008  
2009  
2010  
2011  
2012  
2013  
2014  
2015  
2016  
2017  
2018  
2019  
2020  
2021  
2022  
2023  
2024  
2025  
2026  
2027  
2028  
2029  
2030  
2031  
2032  
2033  
2034  
2035  
2036  
2037  
2038  
2039  
2040  
2041  
2042  
2043  
2044  
2045  
2046  
2047  
2048  
2049  
2050  
2051  
2052  
2053  
2054  
2055  
2056  
2057  
2058  
2059  
2060  
2061  
2062  
2063  
2064  
2065  
2066  
2067  
2068  
2069  
2070  
2071  
2072  
2073  
2074  
2075  
2076  
2077  
2078  
2079  
2080  
2081  
2082  
2083  
2084  
2085  
2086  
2087  
2088  
2089  
2090  
2091  
2092  
2093  
2094  
2095  
2096  
2097  
2098  
2099  
2100  
2101  
2102  
2103  
2104  
2105  
2106  
2107  
2108  
2109  
2110  
2111  
2112  
2113  
2114  
2115  
2116  
2117  
2118  
2119  
2120  
2121  
2122  
2123  
2124  
2125  
2126  
2127  
2128  
2129  
2130  
2131  
2132  
2133  
2134  
2135  
2136  
2137  
2138  
2139  
2140  
2141  
2142  
2143  
2144  
2145  
2146  
2147  
2148  
2149  
2150  
2151  
2152  
2153  
2154  
2155  
2156  
2157  
2158  
2159  
2160  
2161  
2162  
2163  
2164  
2165  
2166  
2167  
2168  
2169  
2170  
2171  
2172  
2173  
2174  
2175  
2176  
2177  
2178  
2179  
2180  
2181  
2182  
2183  
2184  
2185  
2186  
2187  
2188  
2189  
2190  
2191  
2192  
2193  
2194  
219

Figure 10 is flowchart showing a method for authenticating a remote transaction, in accordance with an embodiment of the present invention;

Figure 11 is a logical diagram showing an exemplary environment profile, in accordance with an embodiment of the present invention;

5        Figure 12 is a logical diagram showing a new client public and private key pair generated using an environmental profile, in accordance with an embodiment of the present invention;

Figure 13 is a flowchart showing a method for protecting electronic files based on location, in accordance with an embodiment of the present invention;

10        Figure 14 is a logical diagram showing a real-time file protection system, in accordance with an embodiment of the present invention; and

Figure 15 is a flowchart showing a method 1500 for accessing an encrypted data file, in accordance with an embodiment of the present invention.

## **DETAILED DESCRIPTION OF THE PREFERRED EMBODIMENTS**

An invention is disclosed for electronic file protection using location and other entropy factors. In the following description, numerous specific details are set forth in order to provide a thorough understanding of the present invention. It will be apparent, however, to one skilled in the art that the present invention may be practiced without some or all of these specific details. In other instances, well known process steps have not been described in detail in order not to unnecessarily obscure the present invention.

In order to provide a thorough understanding of the present invention, two devices are defined. The first device, a "User Card", resides on a client computer system, disk drive or other electronic device that is employing the present invention. The term "card" is used figuratively and is not meant to limit the implementation or packaging of the present invention in any way. This User Card may reside entirely within a host device, may be plugged in to a host device, or otherwise electronically attached to the device through any one or more attachment means, such as PCMCIA connector, serial port, parallel port, wireless connection, or other means. It will be apparent to those skilled in the art that these attachment means are intended to present examples and not intended to limit the present invention in any way. The second device, the "System Card", resides on the server computer system or other host which is controlling access to information and requires authentication of a user.

Figures 1, 2, and 3 have been described in terms of the prior art. Figure 4 is an illustration showing a client computer system 400 that utilizes global positioning satellite (GPS) data to facilitate authentication, in accordance with an embodiment of the present

invention. The client computer system 400 includes a GPS antenna 412 on a User Card 410, which is coupled to a client computer 409 operated by a user 408. Typically, the client computer 409 is further coupled to a network, which can be either a local area network (LAN) or a wide area network (WAN) such as the Internet. In addition, Figure 4 shows satellites 402 of the GPS system, each providing timing signals 404, usually broadcast at 1.57 Ghz, that are received by the User Card 410 through the GPS antenna 412. The GPS system is a set of 24 satellites launched by the U.S. Department of Defense that are configured to facilitate identifying earth locations. Although the following description is in terms of GPS technology, it should be noted that any external timing signals can be utilized by the embodiments of the present invention. Further exemplary external timing signals include cell towers, LORAN, and Global Orbiting Navigational Satellite systems (GLONASS). Moreover, timing pulses over the Internet may be utilized as timing signals by the embodiments of the present invention.

In order to authenticate a transaction, the embodiments of the present invention place a person (“who”) in time (“when”) and in space (“where”) as part of a transaction (“what”). As illustrated in Figure 4, embodiments of the present invention utilize GPS data to facilitate authentication of a transaction. Each satellite 402 generates timing signals 404 that are received by the GPS antenna 412 and the User Card 410. The User Card 410 includes, among other things, the GPS antenna 412 and electronics that process these timing signals 404 to provide geophysical coordinates (longitude, latitude and altitude) which is subsequently used as part of the authentication process. The processing of these timing signals occurs independently and asynchronously from the client computer or host device 409.



The timing signals 404 include encoded time and date information that can be extracted by the User Card 410 and/or the client computer 409, as will be apparent to those skilled in the art. Further, by triangulation of signals from three of the satellites 410, the User Card 410 can pinpoint the current geophysical location of the computer  
5 anywhere on earth, generally to within a few meters. However, variations in the ionosphere and atmosphere 406 due to weather, barometric pressure, solar activity, and other variable and unpredictable parameters cause the purity of the timing signals 404 to fluctuate. In particular, the variations in the ionosphere and atmosphere cause unpredictable delays in the timing signals 404. To compensate for these variances, each  
10 satellite 402 of the GPS system transmits two timing signals 404 at two different frequencies (L1 and L2).

Figure 5 is a timing diagram illustrating timing signals 404 from a satellite of a GPS system. The timing signals 404 include a first timing signal 404a at a first frequency and second timing signal 404b at a second frequency. As Figure 5 illustrates, the first and  
15 second timing signals 404a and 404b are offset from each other as a result of atmospheric variances. The delay of a radio signal is inversely proportional to the square of the carrier frequency (i.e. L2 will be delayed more than L1) and proportional to the total number of electrons along the path from the satellite to the receiver. The total number of electrons will vary according to the current solar activity, time of day (at the receiver), and  
20 longitude and latitude of the receiver. It is known to one practiced in the art that by measuring the delay between signals L1 and L2 from a particular satellite, one can calculate the effect due to the ionosphere and troposphere and correct for the variation, thereby improving positional accuracy. To compensate for the atmospheric variances, the embodiments of the present invention normalize the first and second timing signals 404a

and 404b before determining geophysical location. As a result, accuracy for the location calculation is greatly improved.

In addition, embodiments of the present invention utilize the variances in timing signals 404 as a source for an unpredictable random number. In particular, measurement  
5 of the fluctuation in timing signal delay produces a random and unpredictable number whose value depends on the moment to moment value of the various parameters along the path from the satellite to the receiver. Therefore, this delay is specific to each satellite 402 and receiver 412 at a specific time and a specific location, and is extremely difficult, if not impossible, to calculate remotely. Moreover, each GPS satellite is continually  
10 moving along its orbit, thereby introducing additional delay variations as different parts of the Earth's atmosphere are sequentially interposed between the satellite and the receiver on the receiver antenna 412 on the User Card 410. This adds an additional element of variability and unpredictability which extends beyond just variations in the atmospheric line-of-sight conditions. Hence, essentially the only way to obtain such a  
15 delay is by direct measurement at the specific receiver on the User Card 410.

In some embodiments, the differences in the arrival times of the timing signal pulses 404 at the difference frequencies are measured. Since these differences are random, fluctuating, and unpredictable due to a wide variety of atmospheric, orbital and solar variables, this delay is unique to the precise time, date, and location of the receiver  
20 412, and specific satellite timing signal 404 being received. Therefore, by measuring and storing the random delay as one or more numbers in memory of the User Card 410, another layer of "entropy" is added the overall system security, resulting in increased protection.

Entropy is a highly effective means of achieving strong encryption. In addition to the timing signal delay discussed above, a "secret" is another example of an entropy element that the embodiments of the present invention utilize to increase system security. A "secret", as used in the industry, is a piece of information known only to the user 408 or specific local User Card 410. A properly chosen "secret" makes it very difficult, if not impossible, for an outside party to guess the value of the secret. An example of a "secret" is a personal identification number (PIN) or passphrase. Because the introduction of such a non-predictable item adds randomness and uncertainty to the system, such a technique is said to add entropy to the system, resulting in dramatically increased overall security.

Referring back to Figure 4, embodiments of the present invention can utilize four or more satellites 402 when acquiring timing signals 404. By using additional satellites 402, consistency can be checked and any errors discarded. Moreover, the embodiments of the present invention utilize various signal processing techniques and weak signal extraction to provide strong signal acquisition deep within buildings or in urban canyons, where the visibility of the sky is limited or missing entirely. Exemplary signal processing techniques utilized by embodiments of the present invention include Differential GPS (DGPS), Wireless Aided GPS (WAG), repeater systems, and methods of phase sensitive detection, each of which are known to those skilled in the art.

Figure 6 is a block diagram showing a real-time digital authentication system, in accordance with an embodiment of the present invention. The real-time digital authentication system includes User Card 410 on a client computer 409 and System Card 600. As discussed in greater detail subsequently, the real-time digital authentication system employs a combination of remote, personal, and local elements in such a manner

as dramatically increase the security and protection of the system. In particular, the presence of elements whose values are not predictable from the outside add "entropy" to the security process and therefore dramatically increase the difficulty of hacking, breaking, deciphering or otherwise "spoofing" the system.

5           Upon initial use of the real-time digital authentication system, or whenever a new user is added, an initialization process is invoked. Figure 7 is a flowchart showing a method 700 for initializing a real-time digital authentication system, in accordance with an embodiment of the present invention. In an initial operation 702, preprocess operations are performed. Preprocess operations include creating system default public and private keys, provisioning the communication network between the server and client computers, and other preprocess operations that will be apparent to those skilled in the art.

10           A decision is made as to whether the authentication will include biometric data, in operation 704. Biometric data includes fingerprint scans, voiceprints, retinal scans, and hand measurements, and other biometric data as will be apparent to those skilled in the art. In this disclosure, biometric data is also meant to include any form of input/output in which the user is required to interact physically with a device (the User Card, a biometric scanner, or other device) which is attached to the host system. This might include, for example, a keypad on the User Card into which the user must enter their PIN or

15           passphrase. As will be seen below, the requirement that the user interact directly with a piece of hardware that is resident on the host machine during the time of authentication eliminates the risk of a user employing any of a number of remote control programs to enter data remotely without being physically present at the authorized machine. If the

20

authentication operations will include biometric data, the method 700 proceeds to operation 706. Otherwise, the method 700 continues with operation 708.

In operation 706, biometric characteristics are obtained from the user. Each user establishes a personal profile of their biometric characteristics, generally, by submitting themselves to a biometric scanning device. This profile is used to control the user's access to the authentication system or machine, as is preferred by the particular system or application employing the device. A preferred embodiment will require that the user interact directly with the biometric access device or other input/output interface that resides solely on the User Card or the user's computing device during the authentication process. This forces the user to be physically present at their machine during the authentication process, and avoids masquerading or other remote access attempts using various remote control programs available on the market today.

A passphrase or PIN is obtained from the user in operation 708. Generally, the passphrase or pin number is known only to the individual user and is not disclosed to others. Referring back to Figure 6, a summary of the passphrase or PIN, or a brief hash sequence of the biometric characteristics, or combination of these is stored on the System Card 600, shown as PIN data 602 within the profile 606 in Figure 6. If desired, a system administrator can confirm the user's identity. The system administrator can further "seal" to the profile by indicating who the administrator is, the time, date, and location of the initialization, and any additional unique information required by the application.

Turning back to Figure 7, a decision is then made as to whether mobile access will be available to the user, in operation 710. Mobile access allows authentication of the user when the user is not at a registered location. If mobile access will be available to the

RD  
add  
10/29/01  
^

user, the method 700 continues with operation 712. Otherwise, the method 700 proceeds to operation 714.

In operation 712, a mobile passphrase is obtained from the user. As explained in greater detail subsequently, the mobile passphrase is utilized by the user when accessing the system from a location other than a pre-registered location stored on the System Card in the user's profile. The mobile passphrase 604 is then encrypted and stored in the user's profile 606 on the System Card 600, as shown in Figure 6. A preferred embodiment of the mobile passphrase will require the user to interact directly with the User Card or a biometric access device on their mobile computing machine, so that the user is required to be physically present at their machine during the time of authentication. As explained above, this requirement eliminates the risk of someone using a remote control program to spoof the location determination.

Referring back to Figure 7, initial random numbers are generated and stored on a system random number stack in the user's profile, in operation 714. Similarly, initial delay numbers are generated and stored on a system delay stack in the user's profile, in operation 716. Turning to Figure 6, the system random number stack 608 is used to store random numbers utilized in authentication. Similarly, the system delay stack 610 is used to store random delay numbers from satellite timing signals. At initialization, the system administrator generates the numbers for the random number stack 608 and system delay stack 610. During use, the particular User Card 410 will generate new numbers for the random number stack 608 and system delay stack 610. Copies of the initial numbers for the random number stack 608 and system delay stack 610 of the System Card 600 are

stored in the client random number stack 612 and client delay stack 614 of the User Card 410 at the time of initialization.

Referring back to Figure 7, in operation 718, a public and private key pair is generated for the User Card 410 on the client computer 409. As shown in Figure 6, the client public key 616 and client private key 618 are both stored on the User Card 410. In addition, the client public key 616 is stored in a database on the System Card 600. The client public key 616 and client private key 618 are used for encryption, as discussed in greater detail subsequently.

The system default public key 620 is then stored on the User Card 410, as shown in operation 720 of Figure 7. In the real-time digital authentication system of Figure 6, the System Card stores a system default public key 620 and a system default private key 622. The system default private key 622 is kept confidential on the System Card 600. However, the system default public key 620 is distributed to the User Card 410 that will access information or data on the server computer through the System Card 600. Post process operations are then performed in operation 722. Post process operations can include additional verification of the user identity, initialization of additional users, and other post process operations that will be apparent to those skilled in the art.

When the user desires to authenticate a file, electronic transaction, or other form of electronic action, the commencement of the authentication process can occur in a variety of ways without limiting the functionality of the device. For example, using a Graphical User Interface (“GUI”) the operator can employ a sequence of mouse clicks to initiate the authentication process. Also, a specific sequence of keystrokes, such as ALT-A or some other combination can initiate the process. It is important to note that the

system can be configured to either always authenticate each transaction, for security-intensive applications such as database transactions in the healthcare industry, or be user-enabled, leaving the decision to authenticate up to the user. Once commenced, the embodiments of the present invention obtain summary data for the client computer, as  
5 discussed next with reference to Figure 8.

Figure 8 is a flowchart showing a method 800 for obtaining summary data including GPS entropy data for the purpose of authenticating a document or file, or authenticating a user prior to granting access to information or systems, in accordance with an embodiment of the present invention. In an initial operation 802, preprocess  
10 operations are performed. Preprocess operations can include initialization of the user profile, creation of a file or transaction to be authenticated, and other preprocess operations that will be apparent to those skilled in the art.

In operation 804, the client device receives an access code from the user. The user is prompted to either enter their passphrase or PIN number. If biometric access is being  
15 used, the user is prompted to verify their identity through a biometric access device. The summary of the user's biometric characteristics is then be encrypted and compared against the encrypted profiles stored on the User Card or the System Card.

A decision is then made as to whether the received access code matches the data in the encrypted profiles stored on the User Card or the System Card, in operation 806. In  
20 some embodiments, failure to match the profile information will result in a limited number of retries before access is completely denied, in operation 808. If the access code matches the data in the encrypted profiles stored on the User Card or the System Card, the method 800 continues with operation 810.



In operation 810, GPS time and date data is received and stored in temporary memory. In one embodiment, the GPS receiver is activated and the time and date are obtained, as described previously, and stored in a temporary memory area on the User Card. Referring to Figure 6, the User Card 410 includes a temporary memory 624 that is  
5 used to temporarily store summary data. The data in the temporary memory 624 is incorporated into the regular memory of the User Card 410 once authentication of the user has been completed by the challenge/response process that occurs between the User Card 410 and the System Card 600. In operation, time, date, location, device id, User Card id, newly calculated random number and the current measured delay number are all  
10 stored in the temporary memory 624 on the User Card 410. Once authentication has been established, the user is granted access to data that resides behind the System Card 600. Alternatively, a local Digital Certificate is created for later authentication as described in greater detail subsequently with reference to Figures 9 and 10.

In operation 812, the User Card 410 calculates the geophysical location of the  
15 client computer 409 using the GPS timing signals received by the GPS antenna 412. The User Card 410 uses the GPS timing signals to determine the precise geophysical location at that moment, and the geophysical location 628 is stored in temporary memory 624. Since the motion of the GPS satellites is highly complex, duplication of such timing signals by a fake source is essentially unfeasible.

20 A delay stack offset is determined and the delay number located at the stack offset in the client delay stack is copied to temporary memory, in operation 814. As shown in Figure 6, the client delay stack 614 includes a plurality of delay numbers. In operation 814, an offset into the client delay stack 614 is determined via a random number or other

appropriate manner as will be apparent to those skilled in the art. The offset is then used to index the delay number located at the offset within the client delay stack 614. The selected delay number 630 is then copied to the temporary memory 624.

Referring back to Figure 8, a new delay number is obtained from the GPS timing signals, in operation 816. Embodiments of the present invention utilize the variances in GPS timing signals as a source for an unpredictable random number. In particular, measurement of the fluctuation in timing signal delay produces a random and unpredictable number whose value depends on the moment to moment value of the various parameters along the path from the satellite to the receiver. Therefore, this delay is specific to each satellite and receiver at a specific time and a specific location, and is extremely difficult, if not impossible, to calculate remotely. Hence, essentially the only way to obtain such a delay is by direct measurement at the specific receiver.

In some embodiments, the differences in the arrival times of the timing signal pulses at the difference frequencies are measured. Since these differences are random, fluctuating and unpredictable due to a wide variety of atmospheric and solar variables, this delay is unique to the precise time, date, and location of the receiver, and specific satellite timing signal being received. The newly obtained delay number is then pushed on the client delay stack 614.

The unique host processor client ID and User Card ID 410 are copied to temporary memory, in operation 818. Each client computer 409 includes a unique host processor client ID 632 and receiver ID 634 from the receiver coupled to the client computer 409. These IDs are added to temporary memory 624 to further uniquely identify the user.

A stack offset is determined and the previously stored random number located at the client random number stack offset in the client random number stack is copied to temporary memory, in operation 820. As shown in Figure 6, the client random number stack 612 includes a plurality of previously stored random numbers. In operation 820, an offset into the client random number stack 612 is determined, and the offset is then used to index the previously stored random number located at the offset within the client random number stack 612. The selected previously stored random number 634 is then copied to the temporary memory 624.

Referring back to Figure 8, a new random number is generated and pushed onto the client random number stack 612, in operation 822. The new random number can be generated by well known techniques that will be apparent to those skilled in the art. Post process operations are performed in operation 822. Post process operations can include creating a Digital Certificate using the obtained summary information, authenticating a transaction using the obtained summary information, and other post process operations that will be apparent to those skilled in the art. The process described in Figure 8 is meant to be instructive. It will be apparent to those skilled in the art that the selection of the delay and random numbers that are copied into temporary memory need not be limited to one each. Multiple randomly selected entries from the random number stack as well as multiple randomly selected delay numbers from the delay number stack can be employed as part of the creation of the summary information, further strengthening the integrity of the process by raising the complexity and entropy higher.

Figure 9 is a flowchart showing a method 900 for creating a Digital Certificate using obtained client summary information, in accordance with an embodiment of the

present invention. In an initial operation 902, preprocess operations are performed. Preprocess operations can include initializing a new user profile, provisioning a new client computer system, and other preprocess operations that will be apparent to those skilled in the art.

5 In operation 800, summary data including GPS entropy data is obtained. Summary data is obtained as discussed previously with respect to method 800 of Figure 8. The obtained summary data is stored in temporary memory 624 and the client random number stack 612 and the client delay stack 614 are updated as discussed above.

10 In operation 904, the client random number stack and the client delay stack are popped and the old random number and old delay number in temporary memory are replaced with the new random number and new delay number popped off the temporary memory of the User Card. In this manner, the new random number and new delay number can be used for the creation of the Digital Certificate while keeping the client stacks 612 and 614 synchronous with the server stacks 608 and 610.

15 A decision is then made as to whether a hash code of the related document is to be included with the Digital Certificate, in operation 906. If a hash code of the related document is to be included with the Digital Certificate the method 900 proceeds to operation 908. Otherwise, the method 900 continues with operation 910.

20 In operation 908, a hash code is created for the related document. The hash code function converts a variable-sized amount of text into a fixed-sized output, or hash value. As a result, the hash code allows changes to be detected if the related document is changed.

The Digital Certificate is then created in operation 910. The client public key 616 is used in conjunction with the client private key 618 to encrypt the summary data in the temporary memory 624 using PKI dual key encryption. The resulting Digital Certificate can then attest to the time, date, location, user, processor ID, receiver ID, new delay number, and new random number. If a hash code of the related document was created in operation 908, the hash code can be used subsequently to detect any changes to the related document content since certification. Post process operations are then performed in operation 912.

Post process operations include storing the Digital Certificate and related file on a storage medium, subsequent authentication operations, and other post process operations that will be apparent to those skilled in the art. In addition to facilitating Digital Certificate creation, the summary data can be used in transactions wherein a transmission is to occur, as discussed in greater detail next with reference to Figure 10.

Figure 10 is flowchart showing a method 1000 for authenticating a remote transaction, in accordance with an embodiment of the present invention. In an initial operation 1002, preprocess operations are performed. Preprocess operations include establishing a connection with a remote server computer, commencing the transaction application, and other preprocess operations that will be apparent to those skilled in the art.

In operation 800, summary data including GPS entropy data is obtained. Summary data is obtained as discussed previously with respect to method 800 of Figure 8. The obtained summary data is stored in temporary memory 624 and the client random number stack 612 and the client delay stack 614 are updated as discussed above.

A digital token is created in operation 1004. As shown in Figure 6, the User Card 410 uses the system default public key 620 in conjunction with the client private key 618 to encrypt the summary data stored in the temporary memory 624 into a digital token 636. For example, in Figure 6 the summary data includes the GPS time and date 626, the calculated geophysical location 628, the selected previously stored delay number 630, the selected previously stored random number 634, the client ID 632a, and the receiver ID 632b. It should be borne in mind that the digital token 636 is not required to include all the information stored in temporary memory 624. In some embodiments, some amount of summary information less than all the information shown in the temporary memory 624 of Figure 6 is encrypted into the digital token 636.

Referring back to Figure 10, the digital token is transmitted to the server computer in operation 1006. Upon receipt, the server computer decrypts the digital token, in operation 1008. As illustrated in Figure 6, the server computer 600 decrypts the digital token 636 using the system default private key 622. The server computer 600 then compares the summary data included in the digital token 636 to the data included in the user profile 606.

A decision is then made as to whether the GPS geophysical location data included in the digital token matches the GPS geophysical location data included in the user profile, in operation 1010. If the GPS geophysical location data included in the digital token matches the GPS geophysical location data included in the user profile, the method 1000 continues with operation 1018. Otherwise, the method 1000 branches to operation 1012.

In operation 1012, the System Card requests a mobile passphrase for the user. More specifically, the System Card encrypts a token using the system default private key and the client's public key. When decrypted, the contents of the token request that the User Card challenge the user for his/her mobile passphrase. The User Card issues a request to the Host Processor and the user is presented with a dialog box requesting that the mobile passphrase that was established during initialization be entered. The passphrase entered by the user is then returned to the User Card, which encrypts the response into a token using the system default public key and its client private key. Upon receipt, the System Card decrypts the token and compares the passphrase against the passphrase stored in the user's profile.

When the geophysical location data for the user does not match the profile, the transaction can still be authenticated if the user is approved for mobile access. Hence, in operation 1012, the user is prompted for their mobile passphrase. A decision is then made as to whether the mobile passphrase matches the mobile passphrase stored in the user's profile, in operation 1014. If the mobile passphrase matches the mobile passphrase stored in the user's profile, the method 1000 continues with operation 1018. Otherwise, the method 1000 continues with an authentication failure operation 1016. In the authentication failure operation 1016, access to the server computer is denied and the system administrator is notified to take any subsequent actions that have been instituted by the organization.

In operation 1018, a decision is made as to whether the remainder of the summary data included in the digital token matches the data included in user's profile. For example, the client ID and receiver ID can be validated. In addition, the delay number

630 and random number 634 included in the digital token are compared to the corresponding delay number and random number stored in the system delay stack 610 and system random number stack 608 at the same offsets used for the digital token data. This stack offset check further increases system security since system attackers would need to know both the actual random and delay numbers included in the stacks and the offsets used to index into the stacks. If the remainder of the summary data included in the digital token matches the data included in user's profile, the method 1000 continues with operation 1020. Otherwise, the method 1000 branches to the authentication failure operation 1016. As explained above, it is not the intent of this example to limit the use of random number and delay number offsets to just one. Multiple offsets can comprise a challenge to further strengthen the authentication process against attacks.

In operation 1020, a new system public key is generated and encrypted. As shown in Figure 6, the server computer 600 uses the client public key 616 in conjunction with the system default private key 622 to encrypt the new system public key 638. The encrypted new system public key 638 is then transmitted to the client computer 410, in operation 1022.

The new random number and new delay number are copied into temporary memory and the summary data in temporary memory is encrypted using the new system public key, in operation 1024. Referring to Figure 6, the client computer 410 replaces the previously stored delay number 630 and the previously stored random number 634 in temporary memory 624 with the new random number and new delay number copied from the client random number stack 612 and client delay number stack 614. The client computer 410 then encrypts the updated summary data in temporary memory 624 using



the new system public key 620 in conjunction with the client private key 618. Referring back to Figure 10, the encrypted updated summary data is transmitted to the server computer in operation 1026. The server computer then uses the system private key 622 to decrypt the summary data and compares the summary data to the data included in the user's profile 606.

A decision is then made as to whether the received summary data, excluding the new delay and random numbers, matches the data stored in the user's profile, in operation 1028. If the summary data, excluding the new delay and random numbers, matches the data stored in the user's profile, the method 1000 continues with operation 1030. Otherwise, the method branches to the authentication failure operation 1016.

In operation 1030, the new delay number and the new random number included in the updated summary data are pushed onto the system stacks. Referring to Figure 6, the new delay number 630 included in the updated summary data 624 is pushed onto the system delay stack 610. Similarly, the new random number 634 included in the updated summary data 624 is pushed onto the system random number stack 608.

Referring back to Figure 10, a symmetric encrypted channel is then opened in operation 1032. A high speed symmetric encrypted channel is opened between the client computer 410 and the server computer 600. High speed encrypted communication is then permitted using a secure encryption technique, such as Security Sockets Layer (SSL), Data Encryption Standard (DES), Rijndael, or any other high speed encryption technique known to those skilled in the art.

To complete synchronization of the system and user stacks, the System Card sends an authentication acknowledgment to the User Card through the symmetric encrypted channel. Upon receipt of the authentication acknowledgment message from the System Card, the User Card pops the new random number(s) and delay number(s) from the temporary memory location and pushes them onto their respective stacks. In this way, the System and User stacks remain synchronized and are updated with each successive authentication.

Embodiments of the present invention can further be used to generate self-protecting electronic data files. In particular, embodiments of the present invention protect electronic files utilizing an environment profile that describes the operating environment of the client computer. In this manner, only a client computer conforming to the operating environment as defined in the environment profile can access data files protected using the embodiments of the present invention.

Figure 11 is a logical diagram showing an exemplary environment profile 1100, in accordance with an embodiment of the present invention. The exemplary environment profile 1100 is a number, which is hashed or otherwise obtained from the operating environment of the client computer, that allows encrypted files to be environment-sensitive. As a result, the environment profile 1100 introduces an environmental component that can be used to prevent decryption of a file if any component of the environment has changed. For example, the exemplary environment profile 1100 illustrated in Figure 11 can be based on the geo-location and/or geo-location range 628, drive ID(s) 1102, electronic address assignments 1104, and a time and date range 1106.

The geo-location 628 is the physical location of the client computer as determined using external timing signals, such as GPS technology. As described above, the GPS system is a set of 24 satellites launched by the U.S. Department of Defense that are configured to facilitate identifying earth locations. The satellites of a GPS system provide timing signals, usually broadcast at 1.57 Ghz, that are received by the User Card through the GPS antenna. Although the following description is in terms of GPS technology, it should be noted that any external timing signals can be utilized by the embodiments of the present invention.

Embodiments of the present invention can also base the environmental profile 1100 on a pre-set association of a multiplicity of disk drives, each with a unique ID 1102, to a multiplicity of addresses. These addresses may be geo-location addresses, possibly unique for each drive, or may be physical electronic device addresses 1104 of each drive as it is configured to operate within a bank of other disk drives. Of course some combination of these is also envisioned by this disclosure. Hence, the disk on which the protected file resides is intimately tied to the protected file and the user's location. As a result, if the drive is replaced or the file is copied to another device, the protected file will become unreadable.

The environmental profile 1100 can be further based on a time and date range 1106. The time range 1106 can define a range of time and dates wherein the file may be accessed. Since the embodiments of the present invention obtain time information from external timing signals, such as the GPS system, users cannot "spoof" the system by altering their system, or other internal clock. As can be seen, when the external timing signal no longer indicates a time or date within the given time or date range 1106, the

operating environment will no longer match the environment profile 1100. As a result, the user will no longer be able to access the protected file. The embodiments of the present invention utilize the environmental profile 1100 to generate a public and private key pair for use in encrypting and decrypting the data file.

5           Figure 12 is a logical diagram showing a new client public and private key pair 1200 generated using an environmental profile, in accordance with an embodiment of the present invention. The key pair 1200 comprises a new client public key 1202 and a new client private key 1204. Both the new client public key 1202 and the new client private key 1204 are generated based on the user's passphrase 602 and on the environment profile  
10   1100 of the client computer.

When generating a key pair for public key encryption, the user is asked to enter a passphrase 602, which is a sequence known only to the user. The passphrase 602 includes enough random information that a strong public and private key pair can be generated based on the passphrase 602. However, embodiments of the present invention  
15   also append the environment profile 1100 of the client computer to the passphrase 602 before creation of the new client public and private key pair 1200, which is used to encrypt self-protecting data files for the client computer.

In this manner, a data file, System Card, or User Card can lock up data upon the change of any one or more devices from their original prescribed configuration of geo-  
20   physical and electronic addresses. The movement, removal, or re-arrangement of one or more drives will cause the composition of the environment profile to change, thereby creating an incorrect key for use in the decryption process. An invalid key, of course, will be unable to decrypt the file.

Figure 13 is a flowchart showing a method 1300 for protecting electronic files based on location, in accordance with an embodiment of the present invention. In an initial operation 1302, preprocess operations are performed. Preprocess operations include establishing a connection with a remote server computer, commencing the transaction application, and other preprocess operations that will be apparent to those skilled in the art.

In operation 800, summary data including GPS entropy data is obtained. Summary data is obtained as discussed previously with respect to method 800 of Figure 8. The obtained summary data is stored in temporary memory 624 and the client random number stack 612 and the client delay stack 614 are updated as discussed above.

A digital token is created in operation 1304. The User Card uses the system default public key in conjunction with the client private key to encrypt the summary data stored in the temporary memory into a digital token. For example, the summary data can include the GPS time and date, the calculated geophysical location, the selected previously stored delay number, the selected previously stored random number, the client ID, and the receiver ID. It should be borne in mind that the digital token is not required to include all the information stored in temporary memory. In some embodiments, some amount of summary information less than all the information shown in the temporary memory mentioned above is encrypted into the digital token.

The digital token is transmitted to the server computer in operation 1306. Upon receipt, the server computer decrypts the digital token, in operation 1308. The server computer decrypts the digital token using the system default private key. The server

computer then compares the summary data included in the digital token to the data included in the user profile.

A decision is then made as to whether the GPS geophysical location data included in the digital token matches the GPS geophysical location data included in the user profile, in operation 1310. If the GPS geophysical location data included in the digital token matches the GPS geophysical location data included in the user profile, the method 1300 continues with operation 1318. Otherwise, the method 1300 continues with an authentication failure operation 1316. In the authentication failure operation 1316, access to the server computer is denied and the system administrator is notified to take any subsequent actions that have been instituted by the organization.

In operation 1318, a decision is made as to whether the remainder of the summary data included in the digital token matches the data included in user's profile. For example, the client ID and receiver ID can be validated. If the remainder of the summary data included in the digital token matches the data included in user's profile, the method 1300 continues with operation 1320. Otherwise, the method 1300 branches to the authentication failure operation 1316.

A new system public key is generated and both the new system public key and a request for the environment profile are encrypted, in operation 1320. Figure 14 is a logical diagram showing a real-time file protection system, in accordance with an embodiment of the present invention. As shown in Figure 14, the server computer 600 uses the client public key 616 in conjunction with the system default private key 622 to encrypt the new system public key 638 and the request 1400 for the environment profile. The encrypted new system public key 638 and encrypted request 1400 are then

transmitted to the client computer 410, in operation 1322. In further embodiments of the present invention, operation 1320 can be performed after a fully authenticated communication channel has been established. In such embodiments, operation 1320 can follow operation 1032 of Figure 10.

5 In response to receiving and decrypting the request 1400 for the environment profile, the client computer generates a new client key pair, in operation 1324. Turning to Figure 14, the client computer 410 generates both the new client public key 1202 and new client private key 1204 based on the user's passphrase 602 and the environment profile 1100, as described above with reference to Figure 12. In addition, embodiments of the present invention can also store a key pair hash code 1402, which is a number hashed from the passphrase 602 and the environment profile 1100. The key pair hash code 1402 can later be used to check the operating environment during future file access, as described in greater detail subsequently. The new client public key 1202 is then encrypted using the new system public key 638 and the new client private key 1204, and transmitted to the server computer 600 in operation 1326.

Referring back to Figure 13, the server computer encrypts the payload using the new client public key, in operation 1328. As shown in Figure 14, the server computer 600 encrypts the payload 1404, which is the electronic data being protected, using the new client public key 1202 and the new system private key 1406. The encrypted payload 1404 is then transmitted to the client computer 410, in operation 1330.

Post process operations are performed in operation 1332. Post process operations can include user access to the encrypted payload data file, further file transmissions, and other post process operations that will be apparent to those skilled in the art. Since the

payload 1404 is encrypted using the new client public key 1202, which is based on the environment profile 1100, the encrypted payload 1404 data file becomes self-protecting. That is, any change in the expected operating environment of the client computer causes the encrypted payload 1404 to be unreadable. Thus, if a user attempts to access the file at  
5 a new location or from a new drive, for example, the user will be unable to access the encrypted payload 1404, as described next with reference to Figure 15.

Figure 15 is a flowchart showing a method 1500 for accessing an encrypted data file, in accordance with an embodiment of the present invention. In an initial operation 1502, preprocess operations are performed. Preprocess operations can include  
10 authorizing a transaction to receive the encrypted data file, generating an environment profile, receiving the encrypted data file, and other preprocess operations that will be apparent to those skilled in the art.

In operation 1504, the user's passphrase is received. The user is prompted to either enter their passphrase or PIN number. If biometric access is being used, the user is  
15 prompted to verify their identity through a biometric access device. A summary of the user's biometric characteristics can then be created. In some embodiments, the passphrase or biometric summary can be compared to a stored user profile to authenticate the user.

The current environment profile is then appended to the passphrase, in operation  
20 1506. As mentioned above, the environment profile is based on the operating environment of the client computer and can include geo-location, drive ID(s), electronic address assignments, time ranges, and other environmental variables that can be obtained or measured. These environmental variables are then hashed to create a current



environment profile that represents the current operating environment of the client computer.

In operation 1508, the passphrase and the appended current environment profile are hashed to create a current key hash code. As mentioned above, embodiments of the present invention process the passphrase and the appended environment profile to generate the new client public and private key pair, which is used for file encryption. In addition, during the new client key pair creation, the hash code based on the new client public and private key pair and environment profile can be saved. This saved original key pair hash code can be used for verification.

A decision can then be made as to whether the current key pair hash code matches the original key pair hash code, in operation 1510. If the current key pair hash code does not match the original key pair hash code, the method 1500 fails in operation 1512. Hence, the file access can fail because of a change in the operating environment as well as by entering the wrong passphrase. If the current key pair hash code matches the original key pair hash code, the method 1500 continues with a decrypting operation 1514.

In decrypting operation 1514, the encrypted payload data file is decrypted using the new client private key. Hence, if the expected operating environment is maintained at the time of file access, the new client private key is used to decrypt the data file. In a further embodiment of the present invention, the passphrase and appended current environment profile are used to generate another new client private key. This client private key is then used to decrypt the payload data. However, the movement, removal, or re-arrangement of one or more environment variables will cause the composition of the environment profile to change, thereby creating an incorrect private key for use in the

decryption process. An invalid key, of course, will be unable to decrypt the file. Hence, as mentioned above, the embodiments of the present invention allow a data file, System Card, or User Card to lockup data upon the change of any one or more devices from their original prescribed configuration of geo-physical and electronic addresses.

5           Although the foregoing invention has been described in some detail for purposes of clarity of understanding, it will be apparent that certain changes and modifications may be practiced within the scope of the appended claims. Accordingly, the present embodiments are to be considered as illustrative and not restrictive, and the invention is not to be limited to the details given herein, but may be modified within the scope and  
10           equivalents of the appended claims.

***What is claimed is:***